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EXAMINER

KOHUT, DAVID M

ART UNIT PAPER NUMBER

3691

DATE MAILED: 11/06/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

10/822,483

Applicant(s)

MASSANELLI ET AL.

Examiner

David M. Kohut

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 12 April 2004 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 4/12/2004 and 5/3/2004.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_.
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_.

## DETAILED ACTION

### *Priority*

1. Acknowledgment is made of applicant's claim for priority under 35 U.S.C. 119(e) to Provisional Application Serial No. 60/462,151, filed April 11, 2003.

### *Drawings*

2. The drawings are objected to because Figures 3, 4, and 5 should reference numerical reference numbers "40", "42", and "4 4", respectively. In order to make these figures more clear, Applicant is requested to indicate on each of the individual figures that the entire flowchart is associated with the appropriate reference number. This can be done by surrounding the flowchart with a dashed line and indicating that the dashed line is the appropriate reference number. Corrected drawing sheets in compliance with 37 CFR 1.121(d) are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. The figure or figure number of an amended drawing should not be labeled as "amended." If a drawing figure is to be canceled, the appropriate figure must be removed from the replacement sheet, and where necessary, the remaining figures must be renumbered and appropriate changes made to the brief description of the several views of the drawings for consistency. Additional replacement sheets may be necessary to show the renumbering of the remaining figures. Each drawing sheet submitted after the filing date of an application must be labeled in the top margin as either "Replacement Sheet" or "New Sheet" pursuant to 37 CFR 1.121(d). If the changes are not accepted by the examiner, the applicant will

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be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

3. The drawings are objected to because the “save filter button” is not indicated by a reference number on Figure 8 and reference number “270” on Figure 20 should actually be reference number “220” (as indicated in the specification on page 19, paragraph 0074, line 7).

Corrected drawing sheets in compliance with 37 CFR 1.121(d) are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. The figure or figure number of an amended drawing should not be labeled as “amended.” If a drawing figure is to be canceled, the appropriate figure must be removed from the replacement sheet, and where necessary, the remaining figures must be renumbered and appropriate changes made to the brief description of the several views of the drawings for consistency. Additional replacement sheets may be necessary to show the renumbering of the remaining figures. Each drawing sheet submitted after the filing date of an application must be labeled in the top margin as either “Replacement Sheet” or “New Sheet” pursuant to 37 CFR 1.121(d). If the changes are not accepted by the examiner, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

4. The drawings are objected to as failing to comply with 37 CFR 1.84(p)(5) because they include the following reference character(s) not mentioned in the description: “116” on Figure 8, “194” on Figure 19, and “270” on Figure 20. Corrected drawing sheets in compliance with 37 CFR 1.121(d), or amendment to the specification to add the reference character(s) in the

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description in compliance with 37 CFR 1.121(b) are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. Each drawing sheet submitted after the filing date of an application must be labeled in the top margin as either "Replacement Sheet" or "New Sheet" pursuant to 37 CFR 1.121(d). If the changes are not accepted by the examiner, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

5. The drawings are objected to as failing to comply with 37 CFR 1.84(p)(4) because reference character "122" has been used to designate both "save filter button" and "four activity buttons" (as shown on page 15, paragraph 0063, line 18 through paragraph 0064, lines 21-22 of the specification) and reference character "214" has been used to designate both "add comment/file interface" and "enter approval" (as shown on page 18, paragraph 0073, line 30 and page 19, paragraph 0073, line 1). Corrected drawing sheets in compliance with 37 CFR 1.121(d) are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. Each drawing sheet submitted after the filing date of an application must be labeled in the top margin as either "Replacement Sheet" or "New Sheet" pursuant to 37 CFR 1.121(d). If the changes are not accepted by the examiner, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

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6. The drawings are objected to as failing to comply with 37 CFR 1.84(p)(5) because they do not include the following reference sign(s) mentioned in the description: “216” (see page 18, paragraph 0073, line 31). Corrected drawing sheets in compliance with 37 CFR 1.121(d) are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. Each drawing sheet submitted after the filing date of an application must be labeled in the top margin as either “Replacement Sheet” or “New Sheet” pursuant to 37 CFR 1.121(d). If the changes are not accepted by the examiner, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

*Specification*

7. The disclosure is objected to because of the following informalities:
- a. Page 1, paragraph 0002, line 31, please change “validate” to “validation”;
  - b. Page 1, paragraph 0003, line 35, insert a comma after received;
  - c. Page 2, paragraph 0004, line 13, insert a comma after changes;
  - d. Page 3, paragraph 0008, line 14, remove the “s” from “comments”;
  - e. Page 3, paragraph 0009, line 1, remove “While”, capitalize the “T” in “the”, add an “s” to “advantage”, insert a period after “art”, and capitalize the “S” in “some”.
  - f. Page 3, paragraph 0009, line 25, change “reduces” to “reduced”.
  - g. Page 7, paragraph 0040, line 12, insert a comma after “validation”.
  - h. Page 8, paragraph 0043, line 9, change “collocated” to “collected”.
  - i. Page 8, paragraph 0043, line 13, remove the “s” from “applications”.

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- j. Page 8, paragraph 0044, line 19, change “Coporation” to “Corporation”.
- k. Page 8, paragraph 0044, lines 18 and 19, change “available from AccuSoft Corporation, Northborough, MA, may be suitable. BravaViewer from Informative Graphics Corporation, Scottsdale, AZ.” to the following: “available from AccuSoft Corporation, Northborough, MA, or BravaViewer from Informative Graphics Corporation, Scottsdale, AZ may be suitable.”
- l. Page 10, paragraph 0049, line 8, change “virtual” to “virtually”.
- m. Page 10, paragraph 0050, line 23, insert “be” between “may” and “pre-approved” and “for a” between “pre-approved” and “claim”.
- n. Page 11, paragraph 0052, line 16, change “as” to “at”.
- o. Page 11, paragraph 0052, line 23, change “included” to “includes”.
- p. Page 12, paragraph 0053, line 11, change “as” to “at”.
- q. Page 12, paragraph 0053, line 18, change “included” to “includes”.
- r. Page 13, paragraph 0056, line 21, Examiner believes the word “access” is missing from between “may not” and “confidential”. Please add the appropriate word if “access” is incorrect.
- s. Page 16, paragraph 0067, line 24, change “packages” to “packaged”.
- t. Page 18, paragraph 0072, line 10, change “initial” to “initially”.
- u. Page 18, paragraph 0073, line 30, Examiner believes that reference number “214” should actually be reference number “260” in this situation. Please make the appropriate change.

- v. Page 18, paragraph 0073, line 31, Examiner believes that reference number “216” should actually be reference number “214” in this situation. Please make the appropriate change.
- w. Page 18, paragraph 0073, line 31, insert “on Figure 22” after reference numeral “218” to make the sentence more clear.
- x. Page 19, paragraph 0076, line 27, insert a “b” in front of the “y”.  
Appropriate correction is required.

***Claim Objections***

- 8. Claims 5 and 12 are objected to because of the following informalities: at the end of the claim, each of the claims should contain the word “documents”. It appears that this was inadvertently left off. Please add the word if appropriate or notify Examiner that the claim is correct “as is”. Appropriate correction is required.
- 9. Claims 2 and 9 are objected to because of the following informalities: after “secure access” there should be a “to” so that the sentence reads, “...providing secure access to the at least...” Appropriate correction is required.
- 10. The specification is objected to as failing to provide proper antecedent basis for the claimed subject matter. See 37 CFR 1.75(d)(1) and MPEP § 608.01(o). Correction of the following is required:
  - y. Claim 3, line 14, contains the phrase “...of at least one...” Examiner interprets this phrase to mean “...of the at least one...” since “...at least one...” was referenced to in Claim 1, to which Claim 3 is dependent upon. Applicant is requested to make the appropriate change.



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z. Claim 5, line 20, contains the phrase "...of at least one..." Examiner interprets this phrase to mean "...of the at least one..." since "...at least one..." was referenced to in Claim 1, to which Claim 5 is dependent upon. Applicant is requested to make the appropriate change.

aa. Claim 5, line 20, contains the phrase "...of at least one..." Examiner interprets this phrase to mean "...of the at least one..." since "...at least one..." was referenced to in Claim 1, to which Claim 5 is dependent upon. Applicant is requested to make the appropriate change.

bb. Claim 10, line 10, contains the phrase "...of at least one..." Examiner interprets this phrase to mean "...of the at least one..." since "...at least one..." was referenced to in Claim 8, to which Claim 10 is dependent upon. Applicant is requested to make the appropriate change.

cc. Claim 12, line 16, contains the phrase "...of at least one..." Examiner interprets this phrase to mean "...of the at least one..." since "...at least one..." was referenced to in Claim 8, to which Claim 12 is dependent upon. Applicant is requested to make the appropriate change.

***Claim Rejections - 35 USC § 112***

11. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

12. Claims 18-20 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which the applicant regards as the invention.

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13. Claim 18 recites "...the web server..." on line 9 and there is no antecedent basis for this limitation in the claim. Claim 15, which claim 18 is dependent upon, talks about an e-mail server and web pages, but makes no reference to a "web server." For examination purposes, Examiner will interpret the "web server" to be the "web pages" indicated in claim 15. Applicant is encouraged to make the appropriate change.

14. Claim 19 is dependent upon claim 18 and claim 19 does not cure the deficiencies set forth in claim 18, and as such is rejected for the same reasons.

15. Claim 20 is dependent upon claim 18 and claim 20 does not cure the deficiencies set forth in claim 18, and as such is rejected for the same reasons.

***Claim Rejections - 35 USC § 101***

16. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

17. Claims 1-20 are rejected under 35 U.S.C. 101 because the claimed invention does not produce a "useful, concrete and tangible result." *State Street Bank & Trust Co. v. Signature Financial Group Inc.*, 149 F.3d 1368, 1373; 47 USPQ2d 1596, 1601-02. The claims are directed to nothing more than abstract ideas. To be eligible for a patent, claims that set forth subject matter excluded by a judicial exception (i.e. abstract ideas) must be for a practical application. A practical application results if the claimed invention transforms an article or physical object to a different state or thing or if the claimed invention produces a useful, concrete and tangible result. However, claims 1-20 fail to transform an article or physical object to a different state or thing

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and the claimed invention as shown by claims 1-20 fails to product a concrete and tangible result as discussed in detail below.

18. Claim 1 is directed to a method for web-based claim processing where the at least one audit claim and the one or more associated documents are made available for review electronically. However, there is no tangible result. All that is recited is that documents are associated with an audit and are made available electronically. This is not enough to produce a tangible result, and as such, the claim is not statutory.

19. Claim 2 is dependent upon claim 1 and claim 2 does not cure the deficiencies set forth in claim 1, and as such is rejected for the same reasons.

20. Claim 3 is dependent upon claim 2, which is dependent upon claim 1, and claim 3 does not cure the deficiencies set forth in either claim 1 or claim 2, and as such is rejected for the same reasons.

21. Claim 4 is dependent upon claim 2, which is dependent upon claim 1, and claim 4 does not cure the deficiencies set forth in either claim 1 or claim 2, and as such is rejected for the same reasons.

22. Claim 5 is dependent upon claim 2, which is dependent upon claim 1, and claim 5 does not cure the deficiencies set forth in either claim 1 or claim 2, and as such is rejected for the same reasons.

23. Claim 6 is dependent upon claim 2, which is dependent upon claim 1, and claim 6 does not cure the deficiencies set forth in either claim 1 or claim 2, and as such is rejected for the same reasons.

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24. Claim 7 is dependent upon claim 2, which is dependent upon claim 1, and claim 7 does not cure the deficiencies set forth in either claim 1 or claim 2, and as such is rejected for the same reasons.

25. Claim 8 is directed to a method for web-based claim processing where the at least one audit claim and the one or more associated documents are made available for review remotely over a network. However, there is no tangible result. All that is recited is that documents are associated with an audit and are made available over a network. This is not enough to produce a tangible result, and as such, the claim is not statutory.

26. Claim 9 is dependent upon claim 8 and claim 9 does not cure the deficiencies set forth in claim 8, and as such is rejected for the same reasons.

27. Claim 10 is dependent upon claim 8 and claim 10 does not cure the deficiencies set forth in claim 8, and as such is rejected for the same reasons.

28. Claim 11 is dependent upon claim 8 and claim 11 does not cure the deficiencies set forth in claim 8, and as such is rejected for the same reasons.

29. Claim 12 is dependent upon claim 8 and claim 12 does not cure the deficiencies set forth in claim 8, and as such is rejected for the same reasons.

30. Claim 13 is dependent upon claim 8 and claim 13 does not cure the deficiencies set forth in claim 8, and as such is rejected for the same reasons.

31. Claim 14 is dependent upon claim 8 and claim 14 does not cure the deficiencies set forth in claim 8, and as such is rejected for the same reasons.

32. Claim 15 is directed to a computer-based system for web-based claim processing in an audit wherein the claim manager generates web pages presenting the audit claim and associated

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documents for review and processes inputs received through the webpage interfaces. All that is recited is that an audit is presented, documents are associated with the audit, and inputs are processed. This is not enough to produce a tangible result, and as such, the claim is not statutory.

33. Claim 16 is dependent upon claim 15 and claim 16 does not cure the deficiencies set forth in claim 15, and as such is rejected for the same reasons.

34. Claim 17 is dependent upon claim 15 and claim 17 does not cure the deficiencies set forth in claim 15, and as such is rejected for the same reasons.

35. Claim 18 is dependent upon claim 15 and claim 18 does not cure the deficiencies set forth in claim 15, and as such is rejected for the same reasons.

36. Claim 19 is dependent upon claim 15 and claim 19 does not cure the deficiencies set forth in claim 15, and as such is rejected for the same reasons.

37. Claim 20 is dependent upon claim 15 and claim 20 does not cure the deficiencies set forth in claim 15, and as such is rejected for the same reasons.

***Claim Rejections - 35 USC § 102***

38. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

39. Claims 1, 8, and 10-14 are rejected under 35 U.S.C. 102(b) as being anticipated by Klein, U.S. Patent No. 5,404,509.

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40. As per claim 1, Klein teaches the method for web-based claim processing comprising: identifying at least one audit claim, i.e. an audit is conducted by selecting a project (see column 5, line 59 of Klein); electronically associating the at least one audit claim to one or more documents associated with the at least one audit claim, i.e. the source material is referenced and checked against the database records (where the source material is equivalent to the documents and the audit claim is equivalent to the database records)(see column 6, lines 21-22 of Klein); and making the at least one audit claim and the one or more associated documents available for review electronically, i.e. if images are available that correspond to the database records, the entire review process of the audit can be conducted completely on-line (see column 6, lines 19-23 of Klein).

41. As per claim 8, Klein teaches the method for web-based claim processing, comprising: obtaining electronic versions of documents relating to an audit, i.e. electronic images that represent the source material for the records in a database are available (see column 6, lines 13-15 of Klein); identifying at least one audit claim based at least in part on the documents, i.e. the database auditor selects the sample to audit and the database is compared to the corresponding source material (see column 5, lines 62-63 and 67-68 of Klein); generating an electronic record of the at least one audit claim, i.e. electronic images that represent the source material for the records in a database are available (see column 6, lines 13-15 of Klein); electronically associating the electronic record for the at least one audit claim to one or more of the documents, i.e. electronic images that represent the source material for the records in a database are available for the review process (see column 6, lines 13-16 of Klein); making the at least one audit claim and the one or more associated documents available for review remotely over a network, i.e. the

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entire review process of the audit can be conducted completely on-line (see column 6, lines 20-23 of Klein).

42. As per claim 10, Klein teaches the method of claim 8 as described above. In addition, Klein further teaches the method of delivering notice to a claimant of the accessibility of the at least one audit claim and the one or more associated documents, i.e. the database auditor presents the sample to the user in a standardized set of reports or on-line forms (see column 5, lines 62-64 of Klein).

43. As per claim 11, Klein teaches the method of claim 8 as described above. In addition, Klein further teaches the method of receiving from a claimant one or more of approval, comment and modification relating to the at least one audit claim, i.e. the user then determines the number of errors contained in the sample and communicates this information to the database auditor (see column 6, lines 24-26 of Klein).

44. As per claim 12, Klein teaches the method of claim 8 as described above. In addition, Klein further teaches the method of delivering notice to a vendor of the accessibility of the at least one audit claim and the one or more associated documents, i.e. the database auditor presents the sample to the user in a standardized set of reports or on-line forms (see column 5, lines 62-64 of Klein).

45. As per claim 13, Klein teaches the method of claim 8 as described above. In addition, Klein further teaches the method of receiving from a vendor one or more of approval, comment and modification relating to the at least one audit claim, i.e. the user then determines the number of errors contained in the sample and communicates this information to the database auditor (see column 6, lines 24-26 of Klein).

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46. As per claim 14, Klein teaches the method of claim 8 as described above. In addition, Klein further teaches the method of receiving from a vendor a document relating to at least one audit claim, i.e. any data entered into a database must come from an original source, and validating the contents of a database means going to that source and double-checking the contents of the records selected for the sample with the original material (in order to perform an audit, the original documents must have been received from an entity requesting the audit)(see column 2, lines 36-41 of Klein).

***Claim Rejections - 35 USC § 103***

47. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

48. Claims 2-7 and 9 are rejected under 35 U.S.C. 103(a) as being unpatentable over Klein, U.S. Patent No. 5,404,509, in view of Goldman et al., U.S. Patent No. 5,684,951.

49. As per claim 2, Klein teaches the method of claim 1 as described above. However, Klein does not explicitly teach the method of providing secure access via the Internet browser.

Goldman et al., however, does teach the method of providing secure access to the at least one audit claim and the one or more associated documents via an Internet browser, i.e. the present invention provides a user authentication system that offers security of access even if a user password or identification is stolen (see column 1, lines 36-40 of Goldman et al.). It would have been prima facie obvious to one of ordinary skill in the art at the time of the invention to



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incorporate this feature into the method of Klein. One of ordinary skill in the art would have been motivated to incorporate this feature to reduce the amount of unauthorized entry (see column 11, lines 36-37 of Goldman et al.).

50. As per claim 3, Klein and Goldman et al. teach the method of claim 2, as described above. Klein further teaches the method of delivering notice to a claimant of the accessibility of the at least one audit claim and the one or more associated documents, i.e. the database auditor presents the sample to the user in a standardized set of reports or on-line forms (see column 5, lines 62-64 of Klein).

51. As per claim 4, Klein and Goldman et al. teach the method of claim 2, as described above. Klein further teaches the method of receiving from a claimant one or more of approval, comment and modification relating to the at least one audit claim, i.e. the user then determines the number of errors contained in the sample and communicates this information to the database auditor (see column 6, lines 24-26 of Klein).

52. As per claim 5, Klein and Goldman et al. teach the method of claim 2, as described above. Klein further teaches the method of delivering notice to a vendor of the accessibility of the at least one audit claim and the one or more associated documents, i.e. the database auditor presents the sample to the user in a standardized set of reports or on-line forms (see column 5, lines 62-64 of Klein).

53. As per claim 6, Klein and Goldman et al. teach the method of claim 2, as described above. Klein further teaches the method of receiving from a vendor one or more of approval, comment and modification relating to the at least one audit claim, i.e. the user then determines

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the number of errors contained in the sample and communicates this information to the database auditor (see column 6, lines 24-26 of Klein).

54. As per claim 7, Klein and Goldman et al. teach the method of claim 2, as described above. Klein further teaches the method of receiving from a vendor a document relating to at least one audit claim, i.e. any data entered into a database must come from an original source, and validating the contents of a database means going to that source and double-checking the contents of the records selected for the sample with the original material (in order to perform an audit, the original documents must have been received from an entity requesting the audit)(see column 2, lines 36-41 of Klein).

55. As per claim 9, Klein teaches the method of claim 8 as described above. However, Klein does not explicitly teach the method of providing secure access via the Internet browser. Goldman et al., however, does not teach the method of providing secure access to the at least one audit claim and the one or more associated documents via an Internet browser, i.e. the present invention provides a user authentication system that offers security of access even if a user password or identification is stolen (see column 1, lines 36-40 of Goldman et al.). It would have been prima facie obvious to one of ordinary skill in the art at the time of the invention to incorporate this feature into the method of Klein. One of ordinary skill in the art would have been motivated to incorporate this feature to reduce the amount of unauthorized entry (see column 11, lines 36-37 of Goldman et al.).

56. Claims 15-18 and 20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Klein, U.S. Patent No. 5,404,509, in view of Quinn, U.S. Patent No. 5,944,786.

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57. As per claim 15, Klein teaches the computer-based system for web-based claim processing in an audit comprising: (a) a database of electronic documents associated with the audit, i.e. electronic images are available for the database records and the source material (see column 6, lines 13-14 and 19-20 of Klein); (b) a claim manager that receives and processes an audit claim associated with one or more of the electronic documents, i.e. the database auditor selects the sample to audit and presents the sample to the user (see column 5, lines 62-64 of Klein); (c) see below; and (d) wherein the claim manager generates web pages presenting the audit claim and the associated documents for review and processes inputs received through the webpage interfaces, i.e. in step 224, the user notes any discrepancies on the audit summary screen where the audit summary screen is on-line (see column 18, lines 51-54 and 68 and column 19, line 1 of Klein). In regards to step (c), Klein does not explicitly teach the method of an e-mail server. However, Quinn does explicitly teach the method of an e-mail server that generates a message notifying the accessibility of the audit claim and the one or more of the documents via an Internet browser, i.e. the automatic e-mail notification system provides for the automatic notification of an e-mail recipient of the presence of e-mail in the recipient's e-mail box on a remote e-mail server where the e-mail server is usually located at an Internet Service Provider (see abstract and column 4, lines 28-29 of Quinn). It would have been prima facie obvious to one of ordinary skill in the art at the time of the invention to incorporate this feature into the method of Klein. One of ordinary skill in the art would have been motivated to incorporate this feature to become more efficient (see column 1, lines 22-24 of Quinn).

58. As per claim 16, Klein and Quinn teach the system of claim 15 as described above. Quinn further teaches the method wherein the e-mail server sends the message to a claimant, i.e.

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the automatic e-mail notification system provides for the automatic notification of an e-mail recipient of the presence of e-mail in the recipient's e-mail box on a remote e-mail server (see abstract of Quinn, lines 1-4). It would have been prima facie obvious to one of ordinary skill in the art at the time of the invention to incorporate this feature into the method of Klein. One of ordinary skill in the art would have been motivated to incorporate this feature to become more efficient (see column 1, lines 22-24 of Quinn).

59. As per claim 17, Klein and Quinn teach the system of claim 15 as described above.

Quinn further teaches the method wherein the e-mail server sends the message to a claimant, i.e. the automatic e-mail notification system provides for the automatic notification of an e-mail recipient of the presence of e-mail in the recipient's e-mail box on a remote e-mail server (see abstract of Quinn, lines 1-4). It would have been prima facie obvious to one of ordinary skill in the art at the time of the invention to incorporate this feature into the method of Klein. One of ordinary skill in the art would have been motivated to incorporate this feature to become more efficient (see column 1, lines 22-24 of Quinn).

60. As per claim 18, Klein and Quinn teach the system of claim 15 as described above. Klein further teaches the method wherein the web server is configured to receive at least one of approval, comment, document and modification associated with the audit from one of a claimant and vendor, i.e. the user notes any discrepancies on the audit summary screen where the audit summary screen is on-line (see column 18, lines 51-54 and 68 and column 19, line 1 of Klein).

61. As per claim 20, Klein and Quinn teach the method of claim 18 as described above.

Klein further teaches the system comprising a viewer associated with the claim manager for presenting the associated documents to remote viewers, i.e. where electronic images that

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represent the source material for the records in a database are available, these images are available on-line for the review process (see column 6, lines 13-16 of Klein).

62. Claim 19 is rejected under 35 U.S.C. 103(a) as being unpatentable over Klein, U.S. Patent No. 5,404,509, in view of Quinn, U.S. Patent No. 5,944,786, as applied to claim 18 above, further in view of Goldman et al., U.S. Patent No. 5,684,951.

63. As per claim 19, Klein and Quinn teach the method of claim 18 as described above. However, neither Klein nor Quinn explicitly teach a confidentiality level. Goldman et al., however, does explicitly teach a system wherein a confidentiality level is associated with the one of approval, comment, document and modification, i.e. the present invention provides a user authentication system that offers security of access even if a user password or identification is stolen (see column 1, lines 36-40 of Goldman et al.). It would have been prima facie obvious to one of ordinary skill in the art at the time of the invention to incorporate this feature into the combined method of Klein and Quinn. One of ordinary skill in the art would have been motivated to incorporate this feature to reduce the amount of unauthorized entry (see column 11, lines 36-37 of Goldman et al.).


### ***Conclusion***

1. Any inquiry concerning this communication or earlier communications from the examiner should be directed to David M. Kohut, Esq. whose telephone number is 571-270-1369. The examiner can normally be reached on M-Th 730-5 w/1st Fri off. 2nd Fri 730-4.
2. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Patrick J. Nolan can be reached on 571-272-0847. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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3. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

DMK  
10/27/2006

  
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SUPERVISORY PATENT EXAMINER

11/1/06

